



RECEIVED

OCT 09 2002

TC 1700

PATENT  
Attorney Docket No.: SSI-00700

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Maximilian A. Biberger et al.

Serial No.: 09/704,641

Filed: November 1, 2000

For: **METHOD AND APPARATUS FOR  
SUPERCritical PROCESSING  
OF A WORKPIECE**

Group Art Unit:

Examiner:

**TRANSMITTAL LETTER**260 Sheridan Avenue, Suite 420  
Palo Alto, California 94306  
(650)833-0160Assistant Commissioner for Patents  
Washington, D.C. 20231RECEIVED  
NOV 01 2002  
TC 1700

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted,  
HAVERSTOCK & OWENS LLPDated: April 10, 2001By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants

## CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents Washington D.C. 20231

HAVERSTOCK & OWENS LLP  
Date: 4/10/01 By: Jonathan O. Owens



Attorney Docket No.: PATENT  
SSI-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Maximilian A. Biberger et al.

Serial No.: 09/704,641

Filed: November 1, 2000

For: **METHOD AND APPARATUS FOR  
SUPERCritical PROCESSING  
OF A WORKPIECE**

) Group Art Unit:

) Examiner:

) **TRANSMITTAL LETTER**

) 260 Sheridan Avenue, Suite 420  
) Palo Alto, California 94306  
) (650)833-0160

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, Form PTO-1449 (including copies of the references contained thereon), and Certification under 37 C.F.R. §1.97(e) for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 4-23-01

By:

Thomas B. Haverstock  
Reg. No.: 32,571  
Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))  
I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

- 1 -

HAVERSTOCK & OWENS LLP

4/24/01 BY Cynthia L. Gray



Attorney Docket No.: PATENT  
SSI-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Maximilian A. Biberger, et al.

Serial No.: 09/704,641

Filed: November 1, 2000

For: **METHOD AND APPARATUS FOR  
SUPERCRITICAL PROCESSING  
OF A WORKPIECE**

) Group Art Unit:

) Examiner:

) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 260 Sheridan Avenue, Suite 420  
) Palo Alto, California 94306  
) (650)833-0160

#12  
10/10/02  
MW

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicant has become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 5,866,005;
- European Publication No. 0 836 895 A2;
- PCT Publication No. WO 99/49998; and
- "A Comparison of Chilled DI Water/Ozone and Co<sub>2</sub>-Based Supercritical Fluids as Replacements for Photoresist-Stripping Solvents" by J.B. Rubin et al., Physical Organic Chemistry Group (CST-12) Chemical Science & Technology Division Los Alamos National Laboratory, Los Alamos, New Mexico.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 4-23-01

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

4/24/01 Cynthia L. Gray  
CERTIFICATE OF MAILING (37 CFR § 1.8(b))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Maximilian A. Biberger, et al.

Serial No.: 09/704,641

Filed: November 1, 2000

For: **METHOD AND APPARATUS FOR  
SUPERCritical PROCESSING  
OF A WORKPIECE**



) Group Art Unit:  
) Examiner:

) **CERTIFICATION FOR  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT  
UNDER 37 CFR § 1.97(e)**

) 260 Sheridan Avenue, Suite 420  
) Palo Alto, California 94306  
) (650) 833-0160

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I hereby certify that the attached seven (4) references contained in this information disclosure statement were cited within an International Search Report (ISR) mailed on February 1, 2001. Accordingly, the references contained in the information disclosure statement were cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).



Attorney Docket No.: PATENT  
SSI-00700

### Identification of Person Making Certification

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 4-23-01

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

DATE OF MAILING (37 CFR § 1.8(a))  
I hereby certify that this paper (along with any  
attached to as being attached or enclosed) is being  
deposited with the U.S. Postal Service on the date  
shown below with sufficient postage as first class  
mail in an envelope addressed to the: Assistant  
Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP

4/24/01 - Cynthia L Gray

# COPY



Serial No.: 09/704,641 H&O File No.: SSI-00700 By: TB#JR  
In the Matter of The Application of: Maximilian A. Biberger et al.  
Date Mailed: 4/24/01 Due Date: 5/1/01  
The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Design Patent Application _____ Pages           | <input type="checkbox"/> Form PTO-1533 (Not. of Missing Parts)  | <input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Duplicate |
| <input type="checkbox"/> Utility patent Application _____ Pages          | <input type="checkbox"/> Form PTOL-85B (issue Fee Trans) & dup. | <input checked="" type="checkbox"/> Certificate of Mailing   |
| <input type="checkbox"/> Prov. Patent Application _____ Pages            | <input type="checkbox"/> Form PTO-1050 (Cert. of Correction)    | <input type="checkbox"/> Certificate of Express Mailing  |
| <input type="checkbox"/> Declaration/Oath                                | <input type="checkbox"/> Maintenance Fee Transmittal Form       | Label No.: _____   |
| <input type="checkbox"/> Power of Attorney _____                         | <input type="checkbox"/> Reexamination Request                  | <input type="checkbox"/> Check(s): \$ _____  |
| <input type="checkbox"/> Assignment                                      | <input type="checkbox"/> Notice of Appeal                       | <input checked="" type="checkbox"/> Deposit Account Authorization Form                               |
| <input type="checkbox"/> Form PTO-1594/1595                              | <input type="checkbox"/> Affidavit/Declaration                  |  |
| <input type="checkbox"/> Small Entity Declaration                        | <input type="checkbox"/> Copy of Filing Receipt                 |  |
| <input type="checkbox"/> Drawings: _____ Sheet(s)                        | <input type="checkbox"/> Req. for Corr. of: _____               |  |
| <input type="checkbox"/> Formal <input type="checkbox"/> Informal        | <input type="checkbox"/> _____                                  |  |
| <input checked="" type="checkbox"/> Information Disclosure Statement     | <input type="checkbox"/> _____                                  |  |
| <input checked="" type="checkbox"/> Form PTO-1449 and Copies of _____    | <input type="checkbox"/> _____                                  |  |
| References Contained Thereon   | <input type="checkbox"/> _____                                  |  |
| <input checked="" type="checkbox"/> Information Disclosure Certification | <input type="checkbox"/> _____                                  |  |
| <input type="checkbox"/> Amendment/Response                              | <input type="checkbox"/> _____                                  |  |
| <input type="checkbox"/> Extension of Time Request: _____ Month(s)       | <input type="checkbox"/> _____                                  |  |
| <input type="checkbox"/> Petition  | <input type="checkbox"/> _____                                  |  |

FOR PTO USE



RECEIVED

OCT 09 2002

TC 1700

1163  
**COPY**

Serial No.: 09/704,641 H&O File No.: SSI-00700 By: 500  
In the Matter of The Application of: Maximilian A. Biberger et al.  
Date Mailed: 4/10/01 Due Date: \_\_\_\_\_

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- |  |   |  |   |
|--|---|--|---|
| <input type="checkbox"/> Design Patent Application _____ Pages                             | <input type="checkbox"/> Form PTO-1533 (Not. of Missing Parts)  | <input checked="" type="checkbox"/> Transmittal Letter                 | <input checked="" type="checkbox"/> Duplicate |
| <input type="checkbox"/> Utility patent Application _____ Pages                            | <input type="checkbox"/> Form PTOL-85B (issue Fee Trans) & dup. | <input checked="" type="checkbox"/> Certificate of Mailing             |   |
| <input type="checkbox"/> Prov. Patent Application _____ Pages                              | <input type="checkbox"/> Form PTO-1050 (Cert. of Correction)    | <input type="checkbox"/> Certificate of Express Mailing                |   |
| <input type="checkbox"/> Declaration/Oath  | <input type="checkbox"/> Maintenance Fee Transmittal Form       | Label No.: _____   |   |
| <input type="checkbox"/> Power of Attorney _____   | <input type="checkbox"/> Reexamination Request                  | <input type="checkbox"/> Check(s): \$ _____                            |   |
| <input type="checkbox"/> Assignment  | <input type="checkbox"/> Notice of Appeal                       | <input checked="" type="checkbox"/> Deposit Account Authorization Form |   |
| <input type="checkbox"/> Form PTO-1594/1595  | <input type="checkbox"/> Affidavit/Declaration                  |  |   |
| <input type="checkbox"/> Small Entity Declaration  | <input type="checkbox"/> Copy of Filing Receipt                 |  |   |
| <input type="checkbox"/> Drawings: _____ Sheet(s)  | <input type="checkbox"/> Req. for Corr. of: _____               |  |   |
| <input type="checkbox"/> <input type="checkbox"/> Formal <input type="checkbox"/> Informal | <input type="checkbox"/> _____                                  |  |   |
| <input checked="" type="checkbox"/> Information Disclosure Statement                       | <input type="checkbox"/> _____                                  |  |   |
| <input checked="" type="checkbox"/> Form PTO-1449 and Copies of <u>4</u>                   | <input type="checkbox"/> _____                                  |  |   |
| References Contained Thereon   | <input type="checkbox"/> _____                                  |  |   |
| <input type="checkbox"/> Information Disclosure Certification                              | <input type="checkbox"/> _____                                  |  |   |
| <input type="checkbox"/> Amendment/Response  | <input type="checkbox"/> _____                                  |  |   |
| <input type="checkbox"/> Extension of Time Request: _____ Month(s)                         | <input type="checkbox"/> _____                                  |  |   |
| <input type="checkbox"/> Petition  | <input type="checkbox"/> _____                                  |  |   |

FOR PTO USE





RECEIVED

OCT 09 2002

TC 1700

PATENT

Attorney Docket No.: SSI-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Maximilian A. Biberger et al.

Serial No.: 09/704,641

Filed: November 1, 2000

For: **METHOD AND APPARATUS FOR  
SUPERCRITICAL PROCESSING  
OF A WORKPIECE**

) Group Art Unit:

) Examiner:

) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 260 Sheridan Avenue, Suite 420  
) Palo Alto, California 94306  
) (650)833-0160

#13  
10/10/02  
MW

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 5,965,025
- U.S. Patent No. 5,888,050
- U.S. Patent No. 5,797,719
- U.S. Patent No. 5,730,874

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP

Date: 4/10/01 By: [Signature]

This Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: April 10, 2001

By: Jonathan O. Owens  
Jonathan O. Owens  
Reg. No.: 37,902

Attorneys for Applicants